

06-18-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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06/14/01

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. 4860P2657

First Inventor Jerome R. Bellegarda

Title METHOD AND APPARATUS FOR FILTERING E-MAIL

Express Mail Label No. EL034436832US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 36]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 4]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
 - c. ☒ Unsigned
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:

Prior application Information: Examiner

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS☒ Customer Number of Bar Code Label

PATENT TRADEMARK OFFICE

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or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Clive D. Menezes

Registration No. (Attorney/Agent)

45,493

Signature

Date 06/14/01

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FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Complete if Known

Application Number
Filing Date June 14, 2001
First Named Inventor Jerome R. Bellegarda
Examiner Name
Group/Art Unit
Attorney Docket No. 4860P2657

TOTAL AMOUNT OF PAYMENT (\$) 1,294.00

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to credit any overpayments to:

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

☒ Charge Any Additional Fee(s) Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
		101	710	Utility filing fee	710.00
		106	320	Design filing fee	
		107	490	Plant filing fee	
		108	710	Reissue filing fee	
		114	150	Provisional filing fee	

SUBTOTAL (1) (\$) 710.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
48	20**	18.00	\$504.00
4	3**	80.00	\$80.00

*or number previously paid, if greater, For Reissues, see below

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
		103	18	Claims in excess of 20	
		102	80	Independent claims in excess of 3	
		104	260	Multiple Dependent claim, if not paid	
		109	80	**Reissue independent claims over original patent	
		110	18	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) 584.00

FEE CALCULATION (continued)

3. ADDITIONAL FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
		105	130	Surcharge - late filing fee or oath	
		127	50	Surcharge - late provisional filing fee or cover sheet.	
		139	130	Non-English specification	
		147	2,520	For filing a request for reexamination	
		112	920*	*Requesting publication of SIR prior to Examiner action	
		113	1,840*	*Requesting publication of SIR after Examiner action	
		115	110	Extension for response within first month	
		116	390	Extension for response within second month	
		117	890	Extension for response within third month	
		118	1,390	Extension for response within fourth month	
		128	1,890	Extension for response within fifth month	
		119	310	Notice of Appeal	
		120	310	Filing a brief in support of an appeal	
		121	270	Request for oral hearing	
		138	1,510	Petition to institute a public use proceeding	
		140	110	Petition to revive - unavoidable	
		141	1,240	Petition to revive - unintentional	
		142	1,240	Utility issue fee (or reissue)	
		143	440	Design issue fee	
		144	600	Plant issue fee	
		122	130	Petitions to the Commissioner	
		123	130	Petitions related to provisional applications	
		126	180	Submission of Information Disclosure Stmt	
		581	40	Recording each patent assignment per property (times number of properties)	
		146	710	Filing a submission after final rejection (37 CFR § 1.129(a))	
		149	710	For each additional invention to be examined (37 CFR § 1.129(b))	
		179	710	Request for Continued Examination (RCE)	
		169	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Clive D. Menezes	Registration No. (Attorney/Agent)	45,493	Telephone	(503) 684-6200
Signature		Date	06/14/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

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REQUEST AND CERTIFICATION**UNDER****35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor Jerome R. Bellegarda

Title METHOD AND APPARATUS FOR
FILTERING E-MAIL

Attorney Docket Number 4860P2657

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

06/14/01

Date

Signature

Clive D. Menezes, Reg. No. 45,493

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 112(b)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). This information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.